

BUSINESS PROCESS VIIA

CUSTOMER SERVICE AND COMMUNICATION

SUMMARY: Under this process, the Office of Student Financial Assistance provides information and other customer support services to over 10 million students and their families, over 20,000 schools, lenders and guarantors, and to numerous other customers and partners.

BUSINESS PROCESS GOAL: To ensure that OSFA customers and partners receive timely and adequate information to enable them to participate in the application and disbursement processes for federal student aid.

BUSINESS PROCESS DESCRIPTION

OSFA employs a variety of media to provide information and assistance to students, schools, and others aid participants. These range from toll free numbers for the public to specialized web sites for financial aid professionals. In addition, OSFA disseminates information through various correspondence and automated fax mechanisms. These media when taken together offer a variety of general and specific methods of communication.

1. OSFA maintains several toll-free call centers serving the public inquiring about the status of aid applications.
2. OSFA maintains general and specific web sites available for Frequently Asked Questions (FAQ's) as well as guidance and information about how to file applications and process information for the title IV programs.
3. Several professional list serves of financial aid professionals are currently available to send current and breaking news concerning the aid programs. OSFA also has established a Systems Support listserv that was made available to subscribers in June 1999.
4. OSFA maintains a fax-on-demand process that allows financial aid professionals to obtain a faxed listing of short to mid-size documents. The aid administrator can use a touch tone phone and the request codes to obtain needed documents.
5. OSFA maintains a fax broadcast service capable of sending faxes overnight to an extensive list of financial aid professionals about breaking news and current information.

6. OSFA maintains an extensive address file that it uses to send notices, letters, and manuals to schools.

BUSINESS PROCESS CONTINUITY AND CONTINGENCY PLAN

Potential Failure: OSFA communications with schools and other participants are impaired due to phone or web failures after January 1, 2000.

Mitigation Plan: To reduce the impact of these failures, OSFA will:

1. Ensure that other avenues for public communication, such as fax lines, postage meters, etc., are adequately sized;
2. Ensure that information can be provided to schools via mail by printing mailing labels of high schools and postsecondary schools;
3. Maintain a secure copy of the e-mail addresses and fax numbers for financial aid professionals; and
4. Encourage schools and other partners to use the broadcast fax service described in ANN_98-6.

Contingency Plan: OSFA will carry out a variety of activities to provide information to students, schools, and other parties in the event of phone or web failures.

Assumption: One of the three media will be available.

For more information, see **DETAILED CONTINGENCY PLAN**.

DETAILED CONTINGENCY PLAN

This plan details the steps ED will take in the event of a phone or web site failure after January 1, 2000.

Business Owner (*This is the name of the business process owner with implementation authority*).

Acting Director, Customer Service and Support Call Center
U.S. Department of Education
ROB-3, Room 4043
7th & D Streets, SW
Washington, DC 20202

I. Prerequisites (*Activities that need to be completed on or before December 31, 1999, to implement the contingency plan.*)

1. The Unit I Chief, Program Information Branch, will create school mailing labels by December 15, 1999.
2. No later than December 15, 1999, the Business Owner will inform the contractor to standby to assist in mass mailing using postage meters.
3. No later than December 15, 1999, the Unit I Chief, Program Information Branch, will prepare a list of FFEL lenders and send a hard copy of that list to high schools and postsecondary schools.
4. No later than December 15, 1999, the Branch Chief, Customer Support Branch, will create a duplicate diskette of the e-mail list.
5. No later than December 15, 1999, the Business Owner will ensure that fax-on-demand operates properly.

II. Zero-Day Strategy *(In some instances it may be possible to minimize the risk of failure. The zero day strategy provides for risk reduction activities such as shutting down non-essential dependent processes to protect the critical process.)*

Detailed information about the Day One Plan and Zero Day Strategy is maintained by OSFA's Program Systems Services (PSS) as part of their Y2K preparation.

III. Trigger Criteria *(The criteria define the instance of failure, time required to initiate the contingency plan, and the time required to conduct other trigger activities.)*

Trigger *(A trigger is an event or chain of events that signals the need to implement the contingency plan.)*

PIB is unable to communicate with financial aid administrators and the general public on January 1, 2000.

System Monitoring *(Ongoing systems review process.)*

The operations of the Program Information Branch are monitored on a daily basis by members of Business Resumption Team and the Project Manager (NCS), to ensure that operations are operating properly.

Response Procedure *(Procedures for notifying responsible parties of system failures.)*

1. Depending upon the point in the process that the failure is determined, the Project Manager (NCS) will notify the Business Owner within 24 hours after failure occurs.
2. The Information Section Chief will notify the Customer Support Branch Chief.

3. The Customer Support Branch Chief will notify staff in Customer Support of failure.
4. The Program Analyst will perform Web-related repairs.

Event Monitoring *(Parties responsible for overseeing system repairs.)*

The Branch Chief is responsible for overseeing Web repairs and reporting the status of those repairs to the Business Owner on a daily basis.

Failure Tolerance Threshold *(The time ED will allow for system repairs to be completed before implementing the contingency plan.)*

Phones lines used primarily for communications with students -- 10 days.

Phones lines used primarily for communications with Financial Aid Administrators -- 14 to 21 days.

Web Sites -- seven days.

Implementation Timeframe *(The time it will take to implement the contingency plan.)*

The contingency plan can be implemented in one day.

Go No-Go Decision Point *(The last day by which the Business Owner must decide whether to proceed with the plan so that it can be implemented on the next after the Failure Tolerance Threshold.)*

For a failure of the phones lines used primarily for communications with students, no later than 10 days after the failure.

For a failure of the phones lines used primarily for communications with Financial Aid Administrators, no later than 14 days after the failure.

For a failure of the Web Sites, no later than seven days after the failure.

Notification Procedures

1. The Business Owner will notify the Customer Support Branch that the contingency plan has been implemented.
2. Customer Support will communicate the failure and contingency plan to the SFA community.

IV. Business Resumption Team *(Identifies and lists the roles and responsibilities of the persons involved in implementing the contingency plan.)*

Business Owner

Acting Director, Customer Service and Support Call Center
U.S. Department of Education
ROB-3, Room 4043
7th & D Street, SW
Washington, DC 20202

Manage the overall activities associated with implementing the contingency plan and has the authority to commit ED resources and monitor implementation of the contingency plan.

Project Manager
NCS
2510 North Dodge Street
Iowa City, IA 52240

Manage and monitors all activities of the Public Inquiry Contact. Ensure that operations are functioning and report any problems to Business Owner.

Unit Chief
Information Section
Unit I
U.S. Department of Education
ROB-3, Room 3023
7th & D Streets, SW
Washington, DC 20202

Responsible for coordinating activities related to printing labels in the event of a failure.

COTR
Information Section
Unit II
U.S. Department of Education
ROB-3, Room 4043
7th & D Streets, SW
Washington, DC 20202

Responsible for monitoring the activities of the Public Inquiry Contract with regards to the toll and toll-free telephones, postage meters, fax on demand, and fax broadcast.

Branch Chief
Customer Support Branch
U.S. Department of Education
ROB-3, Room 4517
7th & D Streets, SW

Washington, DC 20202

Responsible for monitoring the telephone system to ensure continued communication with the financial aid community.

Program Analyst
Customer Support Branch
U.S. Department of Education
ROB-3, Room 4517
7th & D Streets, SW
Washington, DC 20202

Responsible for performing web system repairs.

V. Sequence of Required Activities *(The activities that the Business Resumption Team will carry out in support of the contingency plan and after the Business Owner decides to implement the contingency plan.)*

The Business Owner will direct the Business Resumption Team to carry out the activities (1) and (2) on the day the contingency plan is implemented.

1. In the event of a failure of the toll-free line for the Customer Support Branch, the Resumption Team will post information to the Web (IFAP).
2. In the event of a failure of the toll-free or toll line for the Federal Student Aid Information Center, the Resumption Team will use available communications channels to provide schools with information on how to assist students.
3. In the event of a failure of the Web (IFAP) and the toll-free line for the Customer Support Branch, the Business Resumption Team will mail information to financial aid administrators.
4. On any day of the plan implementation, the Business Owner may direct the Team to use fax broadcast to inform financial aid administrators of any impending or rapidly changing processes on an overnight basis.

VI. Testing Plan *(The activities ED will carry out before December 31, 1999, to test the contingency plan.)*

Under OMB guidelines, no testing is necessary for communications (infrastructure) systems (e.g., in this case e-mail and fax communications).

BUSINESS PROCESS VII-B

TITLE IV WIDE AREA NETWORK (TIV WAN) ENROLLMENT SERVICES

SUMMARY: TIV WAN serves as the communications channel for most of the electronic data exchanges between ED systems and the systems of aid delivery partners. Under TIV WAN's Participation Management System, eligible schools, guarantors, third-party servicers, and State agencies are provided access to information maintained by various ED program offices and are able to exchange information with those program offices. In addition, ED bills schools and other parties for certain TIV WAN services.

BUSINESS PROCESS GOAL: To ensure that schools participating in the student aid programs, and other eligible parties, have access to ED's electronic systems for sharing data and reporting student-level origination and disbursement information.

BUSINESS PROCESS DESCRIPTION

Enrollment services process

1. Customers (schools, financial aid administrators, ED and contractor staff) enroll in TIV WAN by:
 - a. Requesting a TIV WAN enrollment document from contacting TIV WAN customer service at 1-800-615-1189. TIV WAN customer service will fax or mail the enrollment document to the customer; or
 - b. Downloading the TIV WAN enrollment document from the IFAP web site. The URL is ifap.ed.gov and is located under Dear Colleague Letters GEN-98-2, November 1998.

ED is currently developing a TIV WAN enrollment web site which will allow customers to enroll and change existing Title IV services via a web browser.
2. After the customer completes the enrollment document, a signature page with original signature for each Destination Point Administrator is submitted to TIV WAN customer service. Once the signature page is received, TIV WAN customer service updates the participation file to reflect the enrollment information collected.
3. TIV WAN distributes the participation file to all PSS application systems nightly.

4. ED pays all TIV WAN costs for Direct Loan participants, all Pell transmissions, enrollment and Electronic Access Conferences (EAC) customer service calls. TIV WAN customers are responsible for all other TIV WAN costs invoiced to their institution. These costs include: TIV WAN data transmissions other than Pell and Direct Loan, TIV WAN calls to customer service (emails, faxes, Voice Processing System requests), enrollment fees, online query, and additional PSS software applications and documentation distributed via TIV WAN.

BUSINESS PROCESS CONTINUITY AND CONTINGENCY PLAN

Potential Failure: The TIV WAN participation management system fails, or a school or other party fails, preventing ED or that party from transmitting and receiving data about the student aid programs.

Mitigation Plan: ED will send electronic announcements to all TIV WAN users to test their systems with ED during the summer of 1999 and complete all feasible processing prior to January 1, 2000.

Contingency Plan: ED will take the following actions in the event that the TIV WAN participation management system fails after January 1, 2000:

1. Create a backup of all eligible participants on December 31, 1999 for implementing plan;
2. Implement a manual process to provide access to new participants, remove participants that become ineligible, and to allow customers to change services; and
3. If necessary, disable the billing process to eliminate the possibility that access is denied to eligible participants who receive, but do not pay, erroneously generated bills.

Assumptions: The contingency plan assumes that GEIS VAN, Internet transmissions, mail, and phone will not be affected by a Y2K anomaly that prevents TIV WAN customers from contacting PSS application systems.

For more information, see **DETAILED CONTINGENCY PLAN**.

DETAILED CONTINGENCY PLAN

This plan details the steps ED will take in the event that the TIV WAN Participation Management Systems fails on or after January 1, 2000.

Business Owner (*This is the name of the business process owner with implementation authority.*)

Business Owner
Technical Supervisor for TIV WAN

U. S. Department of Education
ROB 3, Room 4624
7th and D Streets, SW
Washington, DC 20202

I. Prerequisites *(Activities that need to be completed on or before December 31, 1999, to implement the contingency plan.)*

1. The Business Resumption Team will validate participation information on TIV WAN mainframe and Enterprise server to check for accuracy of participation and service levels no later than December 30, 1999.
2. The Business Owner will direct TIV WAN to transmit participation information to PSS application systems using TIV WAN via the zero-day backup.

II. Zero-Day Strategy *(In some instances it may be possible to minimize the risk of failure. The zero day strategy provides for risk reduction activities such as shutting down non-essential dependent processes to protect the critical process.)*

Complete backups will be performed for all TIV WAN participation information stored at the TIV WAN facility in Iowa City, IA, and the VDC in Meriden, CT. Both backups will be checked for validity of data content.

1. TIV WAN will perform a complete backup of the participation information on TIV WAN's mainframe at NCS, Iowa City, IA, on December 31, 1999.
2. TIV WAN will restore the backup of the participation information from TIV WAN's mainframe to a partitioned area and test for accuracy of data.
3. The Virtual Data Center (VDC) in Meriden, CT, which houses the Enterprise Gateway equipment, will perform a full backup of the Enterprise software and operating system on December 31, 1999.
4. The VDC will check the full backup of Enterprise Gateway to ensure data integrity.

III. Trigger Criteria *(The criteria define the instance of failure, time required to initiate the contingency plan, and the time required to conduct other trigger activities.)*

Trigger *(An event or chain of events that signals the need to implement the contingency plan.)*

TIV WAN is unable to accept new/updated participation information from TIV WAN customers.

TIV WAN is unable to update participation file with TIV WAN enrollment information on January 1, 2000.

TIV WAN is unable to transmit updated participation file to PSS application systems on January 1, 2000.

System Monitoring *(Ongoing systems review process.)*

1. TIV WAN mainframe is monitored daily by the Senior Systems analyst.
2. TIV WAN OPEN*net located in Cleveland, OH, will be monitored by the Senior Systems Analyst subcontracted to TIV WAN from GEIS.
3. TIV WAN's Enterprise Gateway located at the VDC in Meriden, CT, will be monitored by TIV WAN's Network administrator.
4. TIV WAN's participation information process is monitored by TIV WAN's enrollment specialist.

Response Procedure *(Procedures for notifying responsible parties of system failures.)*

1. Depending upon the point in the process that the failure is determined, TIV WAN's Project Manager will notify TIV WAN's COTR that a Y2K failure has occurred.
2. The TIV WAN COTR, will notify the Business Owner, the Acting Applications Development Director, and the Systems Manager of the Y2K failure.
3. TIV WAN customer service will contact all PSS application systems' customer services of the Y2K failure via phone, e-mail, and/or fax.
4. TIV WAN customer service will contact affected TIV WAN customers that a Y2K failure has occurred. Customers will be contacted via e-mail, phone, fax, pmessage, and/or web posting.

Failure Tolerance Threshold *(The time ED will allow for system repairs to be completed before implementing the contingency plan.)*

Five business days.

Implementation Timeframe *(The time it will take to implement the contingency plan.)*

The contingency plan can be implemented in one day.

Go No-Go Decision Point *(The last day by which the Business Owner must decide whether to proceed with the plan so that it can be implemented on the next day after the Failure Tolerance Threshold.)*

A decision to implement the contingency plan will be made no later than Friday, January 7, 2000.

Notification Procedures (*The actions ED will take to inform customers and partners of the system failure and the contingency plan requirements.*)

1. The TIV WAN COTR, will notify the OSFA Customer Service that the contingency plan has been implemented for TIV WAN.
2. The TIV WAN COTR will provide Customer Service with materials from TIV WAN regarding the contingency plan implementation.
3. OSFA Customer Service will use the information provided by TIV WAN to communicate the failure and contingency plan to the SFA community.
4. TIV WAN customer service will use the contingency plan information and distribute to all affected TIV WAN participants.

IV. Business Resumption Team (*Identify and list the roles and responsibilities of team members.*)

Business Owner
U. S. Department of Education
ROB-3, Room 4624
7th and D Streets, SW
Washington, DC 20202

Manage the overall activities associated with implementing the contingency plan and has the authority to commit ED resources. Also responsible for determining that a system failure has occurred and authorizing system repairs.

TIV WAN COTR
U. S. Department of Education
ROB-3, Room 4621
7th and D Streets, SW
Washington, DC 20202

Authorize contractor personnel to carry out the contingency plan and system repairs. Also responsible for:

- *Monitoring the implementation of the contingency plan and system repairs.*
- *Notifying OSFA Customer Service of Y2K system failures and that the TIV WAN contingency plan has been implemented.*
- *Providing OSFA Customer Service information prepared by TIV WAN regarding the contingency plan.*
- *Directing inquiries about the contingency plan to TIV WAN Customer Service (Iowa City, IA).*

- *Notifying OSFA Customer Service when the Y2K system repairs are completed for TIV WAN.*

APPSD Systems Manager
U.S. Department of Education
ROB-3, Room 4621
7th & D Streets, SW
Washington, DC 20202

Monitor the implementation of the contingency plan and the system repair. Also responsible for advising the business owner of the progress of the system repair and for notifying CSC that the TIV WAN Y2K failure has been corrected.

TIV WAN Security Officer
U.S. Department of Education
ROB-3
7th and D Streets, SW
Washington, DC 20202

Responsible for monitoring TIV WAN security procedures and implementation. Also responsible for ensuring that security is not compromised when implementing the contingency plan or when system repairs are made, and for notifying PSS Security Officers if a Y2K failure occurs within TIV WAN environment.

TIV WAN Project Manager
National Computer Systems (NCS)
2510 North Dodge St.
Iowa City, IA 52240

Responsible for notifying the Business Owner and TIV WAN COTR of system failures for Enterprise and for notifying VDC (Meriden, CT) of the system failure, advising the TIV WAN COTR and APPSD Systems Manager of the status of the system repairs, and for coordinating corrective action with TIV WAN and CSC.

Senior Systems Analyst
NCS
2510 North Dodge St.
Iowa City, IA 52240

Responsible for coordinating the activities of the mainframe developers and for validating the system code modified for the contingency plan, validating system repairs, updating the TIV WAN Project and TIV WAN COTR on the results of the validation of the code modification, executing the modified code for the contingency plan and the system repair, and for notifying APPSD Systems Manager of the results in executing the modified code.

Mainframe Systems Developer

NCS

2510 North Dodge St.

Iowa City, IA 52240

Responsible for modifying mainframe program code and for testing related to implementing the contingency plan and for implementing necessary mainframe system repairs.

OPEN*Net Configuration Manager

General Electric Information Systems (GEIS)

Cleveland, OH

*Responsible for monitoring OPEN*net activities located at GEIS data center in Cleveland, OH, and for implementing the contingency plan pertaining to OPEN*Net and system repairs to OPEN*Net.*

Network Administrator

NCS

2510 North Dodge St.

Iowa City, IA 52240

Responsible for monitoring Enterprise Gateway activities and for implementing the contingency plan pertaining to Enterprise Gateway and system repairs to Enterprise Gateway.

Enrollment Specialist

NCS

2510 North Dodge St.

Iowa City, IA 52240

Responsible for monitoring the automated enrollment process for Y2K failure. Implements the manual enrollment process if participation management system cannot be access or updated.

Director Student Aid Origination

U.S. Department of Education

7th & D Sts., S.W.

Washington, D.C. 20202

Responsible for monitoring the Direct Loan application system for Y2K failures. Can provide resources for the manual enrollment process if the participation management system cannot be accessed or updated.

NSLDS COTR

U.S. Department of Education
7th & D Sts., S.W.
Washington, D.C. 20202

Responsible for monitoring the NSLDS application system for Y2K failures. Can provide resources for the manual enrollment process if the participation management system cannot be accessed or updated.

CPS COTR
U.S. Department of Education
7th & D Sts., S.W.
Washington, D.C. 20202

Responsible for monitoring the CPS application system for Y2K failures. Can provide resources for the manual enrollment process if the participation management system cannot be accessed or updated.

Campus Base COTR
U.S. Department of Education
7th & D Sts., S.W.
Washington, D.C. 20202

Responsible for monitoring the Campus Base application system for Y2K failures. Can provide resources for the manual enrollment process if the participation management system cannot be accessed or updated.

Director Direct Loan Servicing System
U.S. Department of Education
7th & D Sts., S.W.
Washington, D.C. 20202

Responsible for monitoring the DL Servicing application system for Y2K failures. Can provide resources for the manual enrollment process if the participation management system cannot be accessed or updated.

VDC Project Manager
U.S. Department of Education
ROB-3, Room 5008
7th & D Streets, SW
Washington, DC 20202

Responsible for authorizing CSC to implement the contingency plan for TIV WAN at the VDC and monitoring CSC for Y2K system repair of Enterprise Gateway.

CSC Project Manager
Computer Science Corporation

71 Deerfield Lane
Meriden, CT 06450

Responsible for CSC contractor staff at VDC and for allocating CSC resources to meet ED contingency planning requirements.

Unix Systems Administrator
Computer Science Corporation

Responsible for monitoring the performance and activity level of Enterprise Gateway server.

V. Sequence of Required Activities *(The activities that the Business Resumption Team will carry out in support of the contingency plan and after the Business Owner decides to implement the contingency plan.)*

1. TIV WAN Project Manager notifies Business Owner, TIV WAN COTR, and APPSD System Manager of a TIV WAN Y2K failure. Notification will be done via e-mail or a phone call.

Activities 2 through 8 will be carried out on the day the contingency plan is implemented:

2. TIV WAN COTR notifies OSFA Customer Service that the contingency plan has been implemented. Notification will be done via e-mail or a phone call.
3. OSFA Customer service will notify the TIV WAN community of TIV WAN Y2K failure. Notification will be done via e-mail or a phone call.
4. TIV WAN customer service notifies PSS application systems customer service that a TIV WAN Y2K failure has occurred. Notification will be done via e-mail or a phone call.
5. TIV WAN COTR notifies CSC in Meriden, CT, of the failure. Notification will be done via e-mail or a phone call.
6. The Business Owner directs the resumption team to use the December 31, 1999, backup for TIV WAN participation information.
7. The Business Resumption Team will implement a manual process to add, delete, and change services for TIV WAN customers in the event that the participation file cannot be updated.
8. In the event that TIV WAN cannot transmit the participation file via TIV WAN, TIV WAN will e-mail the participation file to all application systems. If e-mail service is unavailable, TIV WAN will fax the participation file to all PSS application systems. If the e-mail and fax services are unavailable, the manual process will require paper enrollment documents to be photocopied and mailed to the affected PSS application systems. The application systems will have to manually key in the enrollment information to accommodate customers who want to add, change, or delete services. The manual process will also allow for new customers to enroll.
9. The TIV WAN Project Manager will notify Business Owner, TIV WAN COTR, and APPSD System Manager when the system repair is complete for the Y2K failure.
10. The APPSD System Manager will advise Business Owner for approval of system repair.

11. Business Owner authorizes system repair and production resumption.
12. After system repair is complete, the Business Owner will authorize the resumption of normal activities.
13. All affected application systems and TIV WAN customers will be alerted when normal business has resumed. Notification will include e-mail, pmessages, and WEB postings to IFAP and SFATech. The application system owners are listed in the Business Resumption Team section of this plan.

VI. Testing Plan *(The activities ED will carry out before December 31, 1999, to test the contingency plan.)*

No testing is required because these are current operating procedures.